



# **Maryland Performance Planning and Evaluation Program USER'S HANDBOOK**

**Maryland Department of Budget & Management  
Office of Human Resources  
Employee Development & Training Institute**



# Table of Contents

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## CHAPTER 1

The Performance Planning and Evaluation Program .....	1
Phase I: Performance Planning .....	1
Phase II: Mid-Cycle Performance Evaluation .....	2
Phase III: End-of-Cycle Evaluation .....	2
The Performance Planning and Evaluation Program FORM .....	4

## CHAPTER 2

The Performance Planning Process .....	8
Writing Essential Job Functions .....	8
Writing Performance Standards .....	10
How to Create a Performance Plan .....	11
Employee: How to Prepare for the Performance Planning Meeting .....	12
Employee: How to Participate in the Performance Planning Meeting .....	13
Supervisor: How to Prepare for the Performance Planning Meeting .....	14
Supervisor: How to Conduct the Performance Planning Meeting .....	16

## CHAPTER 3

Monitoring Performance and Giving Feedback .....	17
Documenting Performance .....	17
Feedback .....	18
Building a Performance Improvement Plan .....	20
The Performance Improvement Plan / Probationary Evaluation Form .....	21

## CHAPTER 4

Self-Assessment .....	22
How to Conduct the Self-Assessment .....	22

## CHAPTER 5

The Mid-Cycle Performance Evaluation .....	23
Employee: How to Participate in the Mid-Cycle Performance Evaluation .....	23
Supervisor: How to Prepare for the Mid-Cycle Performance Evaluation .....	24
Supervisor: How to Conduct the Mid-Cycle Performance Evaluation .....	24
How to Conduct a Fair Evaluation .....	27
Rating Errors .....	27

## **CHAPTER 6**

The End-of-Cycle Performance Evaluation.....	29
Employee: How to Participate in the End-of-Cycle Performance Evaluation.....	29
Supervisor: How to Prepare for the End-of-Cycle Performance Evaluation.....	30
Supervisor: How to Conduct the End-of-Cycle Performance Evaluation.....	31

## **CHAPTER 7**

Evaluating Overall Performance.....	33
Importance Ranking Guidelines.....	33
Using the Overall Rating Worksheet.....	35
SAMPLE: Overall Performance Rating Worksheet.....	37

# CHAPTER I

## **The Performance Planning and Evaluation Program**

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### **Overview**

The Performance Planning and Evaluation Program is a process by which supervisors and employees can come together to discuss goals, objectives, and expected performance throughout the year. This process allows the supervisor and employee to improve their communication and plan for higher levels of output from the unit or department. The actual performance evaluation is a logical extension of the process which allows the supervisor and employee to appraise and discuss the accomplishment of certain standards and goals.

### **The Performance Planning and Evaluation Process**

There are three basic phases to the Performance Planning and Evaluation Process. The three phases are the Performance Planning phase, the Mid-Cycle Performance Evaluation, and the End-of-Cycle Performance Evaluation. Each of these phases has specific components or activities which must be completed.

#### **Phase I: Performance Planning**

The supervisor and employee meet at the beginning of the review cycle to discuss performance expectations for the upcoming cycle. Specifically, the supervisor and employee will review the Position Description (MS-22) for the position. The supervisor and employee will discuss the Essential Job Functions and Performance Standards for the position. These two areas will function as criteria for evaluation at the end of the review cycle. The supervisor and employee will modify or change the position description, as necessary, to reflect the essential duties of the position and the standards to be met. The supervisor and employee may also discuss and document special projects, changing areas of work or temporary duties that should be evaluated during the cycle.

The supervisor and employee will also discuss the Behavioral Elements that are used to evaluate the job class and/or position. Behavioral Elements are the actions and the conduct expected while on the job, and function to further define the means used to accomplish specific results and standards.

During the course of discussing Essential Job Functions, Performance Standards, and Behavioral Elements, the supervisor will assign an "Importance" ranking to each of the areas. This ranking helps the employee to understand the importance of each area in relation to total job performance, and its effect on the overall performance rating. These rankings should be consistent with the goals of the unit and the information outlined on a currently approved position description.

If, during the review of Essential Job Functions and Performance Standards, the supervisor and employee identify an area in which the employee may not meet standards, the supervisor and employee should create a Performance Improvement Plan. This will avoid any surprises at the end of the review period by encouraging the employee to improve his/her performance during the review cycle.

Once these standards and expectations are discussed, the supervisor and employee sign the planning and evaluation form to document the completion of the performance planning process. However, because business requirements fluctuate, and work standards are always changing, the standards are not "set in stone." If the Essential Job Duties or Performance Standards change, the supervisor and employee must discuss those changes and amend the original form. This would also be documented as part of the on-going process.

## **Phase II: Mid-Cycle Performance Evaluation**

During the Mid-Cycle Performance Evaluation, the supervisor will evaluate the employee's performance according to the criteria that were discussed at the beginning of the cycle or any that have been amended in the meantime. The supervisor will assign a rating to each area of performance and provide any written comments as needed. The supervisor will also assign an overall rating according to the process defined by the department.

Before meeting with the supervisor, the employee will be given the opportunity to conduct a Self-Assessment, using the same agreed upon standards and criteria. The employee will bring the Self-Assessment to the meeting to discuss performance with the supervisor.

During the appraisal, supervisor and employee will discuss the mid-cycle performance review and self-assessment. The supervisor and employee should pay particular attention to those areas which receive a rating of "Needs Improvement" or "Unsatisfactory." The supervisor and employee should create a Performance Improvement Plan to address these problems.

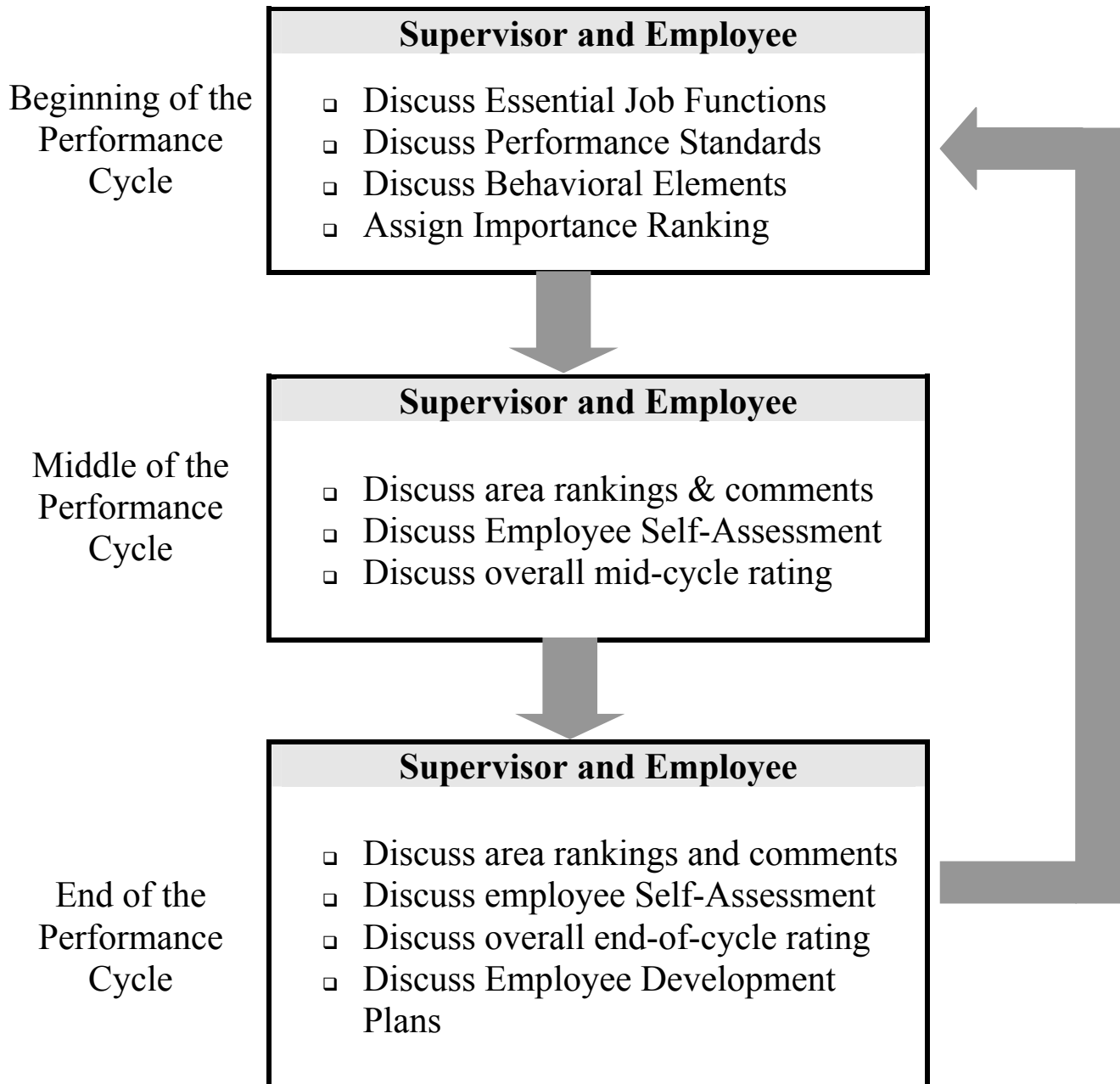
## **Phase III: End-of-Cycle Evaluation**

At the end of the performance cycle, the supervisor will review the employee's performance according to the standards and criteria that have been set and discussed. The supervisor will assign a rating to each area of performance and provide any written comments as needed. The supervisor will also assign an overall rating according to the process defined by the department.

Again, the employee will be given the opportunity to conduct a Self-Assessment before meeting with the supervisor. During the end-of-cycle appraisal the supervisor and employee will discuss the self-assessment and the performance review.

After discussing the performance review and overall rating, the supervisor and employee will discuss the strengths of the employee, according to the performance review. In addition, they will discuss development needs for the employee. Development needs are those areas which could be improved to enhance performance in the position. If appropriate, the supervisor and employee will also discuss the employee's future plans. An examination of the employee's short and long-term career goals and aspirations can be beneficial to the creation of an Employee Development Plan.

# The Performance Planning and Evaluation Process



## The Performance Planning and Evaluation Program Form

Page 1: **"The Cover Page"** - The cover page may be most important because it serves as a guide for the performance management process and documents each phase of the process.

Employee Information - The supervisor will enter the appropriate information onto the form. The "Performance period" shall be the performance review cycle as determined by the employee's entry on duty date. The employee's anniversary entry on duty date shall signify the beginning of the review cycle. The department or agency's Office of Human Resources can assist the employee in determining his or her entry on duty date.

Beginning-of-Cycle Performance Plan, Mid-Cycle Performance Evaluation, and End-of-Cycle Performance Evaluation - During all three phases of the process the employee and supervisor will sign the form to signify that each step has been completed. In addition, an appointing authority or reviewer will examine the form to ensure fairness and consistency.

"Importance" Ranking - This section provides definitions and acts as a guide for the ranking of Essential Job Functions, standards, and elements.

Page 2: **"Performance Planning"** - The second page of the form provides instructions and guidelines to begin the performance planning process.

Section I. Essential Job Functions - A currently approved Position Description (MS-22) must be used while discussing Essential Job Functions. The supervisor and employee ensure the Position Description is up-to-date and does not require changes or modifications. If it is accurate, a copy of the Position Description is attached to the Performance Planning and Evaluation Form.

If the Position Description does require an update, the supervisor and employee should make the necessary changes and detail the correct information on a new Position Description form before attaching it to the Performance Planning and Evaluation Form.

Section II: Performance Standards - During the review of the Position Description, the supervisor and employee confirm that the Performance Standards outlined are accurate and comprehensive. If the Performance Standards are correct, the Position Description may be attached to the Performance Planning and Evaluation Form. Section II provides space for a review of current standards and/or for the establishment of new Performance Standards for the pending review cycle. Upcoming special projects, temporary assignments and/or new duties can be outlined on the form.

## State of Maryland

# Performance Planning and Evaluation Program



Employee Name	EID
Social Security Number	Department
Classification Title	Agency
Supervisor's Name	Supervisor's Title
Date of Hire	Performance Period <div style="display: flex; justify-content: space-between; align-items: center;"> <span>FROM</span> <span>TO</span> </div>

### BEGINNING-OF-CYCLE PERFORMANCE PLAN

Employee's Signature	Eater's Signature
(Signature)	(Signature)
Date of Beginning-of-Cycle Performance Planning Meeting	Eater's Supervisor's Signature
(Signature)	(Signature)

### MID-CYCLE PERFORMANCE EVALUATION

Employee's Signature	Eater's Signature
(Signature)	(Signature)
Date of Mid-Cycle Performance Evaluation Meeting	Eater's Supervisor's Signature
(Signature)	(Signature)

### END-OF-CYCLE PERFORMANCE EVALUATION

<p><b>EMPLOYEE CERTIFICATION:</b> I hereby declare that I have personally measured, report, and understand that my signature does not imply agreement or disagreement.</p>	<p><b>EATER CERTIFICATION:</b> I hereby declare that this report constitutes my best judgment of the various roles of the employee, which is based on personal observation and knowledge of his/her work.</p>
Employee's Signature	Eater's Signature
(Signature)	(Signature)
Date of End-of-Cycle Performance Evaluation Meeting	Appointing Authority's Signature
(Signature)	(Signature)

**IMPORTANT:** Rank the importance of each performance standard and performance element in terms of its effect on total job performance. Rank by the "a" or "b" or "c" or "d" or "e" or "f" or "g" or "h" or "i" or "j" or "k" or "l" or "m" or "n" or "o" or "p" or "q" or "r" or "s" or "t" or "u" or "v" or "w" or "x" or "y" or "z" or "aa" or "ab" or "ac" or "ad" or "ae" or "af" or "ag" or "ah" or "ai" or "aj" or "ak" or "al" or "am" or "an" or "ao" or "ap" or "aq" or "ar" or "as" or "at" or "au" or "av" or "aw" or "ax" or "ay" or "az" or "ba" or "bb" or "bc" or "bd" or "be" or "bf" or "bg" or "bh" or "bi" or "bj" or "bk" or "bl" or "bm" or "bn" or "bo" or "bp" or "bq" or "br" or "bs" or "bt" or "bu" or "bv" or "bw" or "bx" or "by" or "bz" or "ca" or "cb" or "cc" or "cd" or "ce" or "cf" or "cg" or "ch" or "ci" or "cj" or "ck" or "cl" or "cm" or "cn" or "co" or "cp" or "cq" or "cr" or "cs" or "ct" or "cu" or "cv" or "cw" or "cx" or "cy" or "cz" or "da" or "db" or "dc" or "dd" or "de" or "df" or "dg" or "dh" or "di" or "dj" or "dk" or "dl" or "dm" or "dn" or "do" or "dp" or "dq" or "dr" or "ds" or "dt" or "du" or "dv" or "dw" or "dx" or "dy" or "dz" or "ea" or "eb" or "ec" or "ed" or "ee" or "ef" or "eg" or "eh" or "ei" or "ej" or "ek" or "el" or "em" or "en" or "eo" or "ep" or "eq" or "er" or "es" or "et" or "eu" or "ev" or "ew" or "ex" or "ey" or "ez" or "fa" or "fb" or "fc" or "fd" or "fe" or "ff" or "fg" or "fh" or "fi" or "fj" or "fk" or "fl" or "fm" or "fn" or "fo" or "fp" or "fq" or "fr" or "fs" or "ft" or "fu" or "fv" or "fw" or "fx" or "fy" or "fz" or "ga" or "gb" or "gc" or "gd" or "ge" or "gf" or "gg" or "gh" or "gi" or "gj" or "gk" or "gl" or "gm" or "gn" or "go" or "gp" or "gq" or "gr" or "gs" or "gt" or "gu" or "gv" or "gw" or "gx" or "gy" or "gz" or "ha" or "hb" or "hc" or "hd" or "he" or "hf" or "hg" or "hh" or "hi" or "hj" or "hk" or "hl" or "hm" or "hn" or "ho" or "hp" or "hq" or "hr" or "hs" or "ht" or "hu" or "hv" or "hw" or "hx" or "hy" or "hz" or "ia" or "ib" or "ic" or "id" or "ie" or "if" or "ig" or "ih" or "ii" or "ij" or "ik" or "il" or "im" or "in" or "io" or "ip" or "iq" or "ir" or "is" or "it" or "iu" or "iv" or "iw" or "ix" or "iy" or "iz" or "ja" or "jb" or "jc" or "jd" or "je" or "jf" or "jg" or "jh" or "ji" or "jj" or "jk" or "jl" or "jm" or "jn" or "jo" or "jp" or "jq" or "jr" or "js" or "jt" or "ju" or "jv" or "jw" or "jx" or "jy" or "jz" or "ka" or "kb" or "kc" or "kd" or "ke" or "kf" or "kg" or "kh" or "ki" or "kj" or "kk" or "kl" or "km" or "kn" or "ko" or "kp" or "kq" or "kr" or "ks" or "kt" or "ku" or "kv" or "kw" or "kx" or "ky" or "kz" or "la" or "lb" or "lc" or "ld" or "le" or "lf" or "lg" or "lh" or "li" or "lj" or "lk" or "ll" or "lm" or "ln" or "lo" or "lp" or "lq" or "lr" or "ls" or "lt" or "lu" or "lv" or "lw" or "lx" or "ly" or "lz" or "ma" or "mb" or "mc" or "md" or "me" or "mf" or "mg" or "mh" or "mi" or "mj" or "mk" or "ml" or "mm" or "mn" or "mo" or "mp" or "mq" or "mr" or "ms" or "mt" or "mu" or "mv" or "mw" or "mx" or "my" or "mz" or "na" or "nb" or "nc" or "nd" or "ne" or "nf" or "ng" or "nh" or "ni" or "nj" or "nk" or "nl" or "nm" or "nn" or "no" or "np" or "nq" or "nr" or "ns" or "nt" or "nu" or "nv" or "nw" or "nx" or "ny" or "nz" or "oa" or "ob" or "oc" or "od" or "oe" or "of" or "og" or "oh" or "oi" or "oj" or "ok" or "ol" or "om" or "on" or "oo" or "op" or "oq" or "or" or "os" or "ot" or "ou" or "ov" or "ow" or "ox" or "oy" or "oz" or "pa" or "pb" or "pc" or "pd" or "pe" or "pf" or "pg" or "ph" or "pi" or "pj" or "pk" or "pl" or "pm" or "pn" or "po" or "pp" or "pq" or "pr" or "ps" or "pt" or "pu" or "pv" or "pw" or "px" or "py" or "pz" or "qa" or "qb" or "qc" or "qd" or "qe" or "qf" or "qg" or "qh" or "qi" or "qj" or "qk" or "ql" or "qm" or "qn" or "qo" or "qp" or "qq" or "qr" or "qs" or "qt" or "qu" or "qv" or "qw" or "qx" or "qy" or "qz" or "ra" or "rb" or "rc" or "rd" or "re" or "rf" or "rg" or "rh" or "ri" or "rj" or "rk" or "rl" or "rm" or "rn" or "ro" or "rp" or "rq" or "rr" or "rs" or "rt" or "ru" or "rv" or "rw" or "rx" or "ry" or "rz" or "sa" or "sb" or "sc" or "sd" or "se" or "sf" or "sg" or "sh" or "si" or "sj" or "sk" or "sl" or "sm" or "sn" or "so" or "sp" or "sq" or "sr" or "ss" or "st" or "su" or "sv" or "sw" or "sx" or "sy" or "sz" or "ta" or "tb" or "tc" or "td" or "te" or "tf" or "tg" or "th" or "ti" or "tj" or "tk" or "tl" or "tm" or "tn" or "to" or "tp" or "tq" or "tr" or "ts" or "tt" or "tu" or "tv" or "tw" or "tx" or "ty" or "tz" or "ua" or "ub" or "uc" or "ud" or "ue" or "uf" or "ug" or "uh" or "ui" or "uj" or "uk" or "ul" or "um" or "un" or "uo" or "up" or "uq" or "ur" or "us" or "ut" or "uu" or "uv" or "uw" or "ux" or "uy" or "uz" or "va" or "vb" or "vc" or "vd" or "ve" or "vf" or "vg" or "vh" or "vi" or "vj" or "vk" or "vl" or "vm" or "vn" or "vo" or "vp" or "vq" or "vr" or "vs" or "vt" or "vu" or "vv" or "vw" or "vx" or "vy" or "vz" or "wa" or "wb" or "wc" or "wd" or "we" or "wf" or "wg" or "wh" or "wi" or "wj" or "wk" or "wl" or "wm" or "wn" or "wo" or "wp" or "wq" or "wr" or "ws" or "wt" or "wu" or "wv" or "ww" or "wx" or "wy" or "wz" or "xa" or "xb" or "xc" or "xd" or "xe" or "xf" or "xg" or "xh" or "xi" or "xj" or "xk" or "xl" or "xm" or "xn" or "xo" or "xp" or "xq" or "xr" or "xs" or "xt" or "xu" or "xv" or "xw" or "xx" or "xy" or "xz" or "ya" or "yb" or "yc" or "yd" or "ye" or "yf" or "yg" or "yh" or "yi" or "yj" or "yk" or "yl" or "ym" or "yn" or "yo" or "yp" or "yq" or "yr" or "ys" or "yt" or "yu" or "yv" or "yw" or "yx" or "yy" or "yz" or "za" or "zb" or "zc" or "zd" or "ze" or "zf" or "zg" or "zh"

[illegible]



In addition, as part of the performance planning process, the supervisor and employee must also discuss and assign an "Importance" ranking for each area of evaluation. This may be done on the Performance Planning and Evaluation Form or on the attached Position Description.

Section III. Mid-Cycle Performance Evaluation - This section is completed SIX MONTHS after the Performance Planning phase of the process. The supervisor will conduct the employee's performance review by assigning a rating to each area of evaluation (Performance Standards, goals, objectives, products, etc.) that was determined during or since the performance planning phase. The Mid-Cycle rating is used to evaluate performance during the first six months of the review cycle. The supervisor may also provide comments to clarify and describe the reasoning for the rating.

Section IV. End-of-Cycle Performance Evaluation - This section is completed TWELVE MONTHS after the Performance Planning phase of the process. The supervisor will conduct the employee's performance review by assigning a rating to each area of evaluation (Performance Standards, goals, objectives, products, etc.) that was determined during or since the performance planning phase. The End-of-Cycle rating is used to evaluate performance during the entire review cycle. The supervisor may also provide comments to clarify and describe the reasoning for the rating.

In addition, the employee, using a copy of the form during a Self-Assessment, can also assign ratings to each area, as well as provide comments to support the ratings.

### Page 3: "Overall Evaluation"

Section V. Mid-Cycle Performance Evaluation - During the Mid-Cycle Performance Evaluation the supervisor will assign an overall rating consistent with the rating process outlined by the department. The supervisor will record the rating on the form as well as any supporting comments to help summarize overall performance for the first six months of the review cycle. Section V also asks the supervisor to verify that the employee has received five business days notice to complete a self-assessment.

Section VI. End-of-Cycle Performance Evaluation - During the End-of-Cycle Performance Evaluation the supervisor will assign an overall rating consistent with the rating process outlined by the department. The supervisor will record the rating on the form as well as any supporting comments to help summarize overall performance for the entire review period.

Section VI also asks the supervisor to verify that the employee has received five business days notice to complete a self-assessment. In addition, after the completion of the End-of-Cycle Evaluation, the supervisor and employee must review the employee's position description to verify that it accurately reflects the duties and responsibilities of the position. This is to ensure a smooth transition into the planning phase of the next review period.

Section VII. Employee Comments - The employee may also provide comments or remarks as an addendum to the supervisor's End-of-Cycle Performance Evaluation.

**EVALUATION STANDARDS** - Individual areas of performance will be rated according to the following definitions:

- E - Outstanding:** Exceptional performance. Achievements are clearly superior to the level of performance required for the job.
- M - Meets Standards:** Clearly surpassed the standards required for the job. Used exceptional application of knowledge, skills, and/or abilities to exceed the required standards.
- M - Meets Standards:** Met the requirements and expected results for the job. Good performance which is expected of a fully experienced and competent employee.
- I - Needs Improvement:** Job requirements and results were partially met. Performance needs development to meet the standards expected of an experienced and competent employee.
- U - Unsatisfactory:** Performance is unacceptable and shows no significant progress or improvement. Improvement is critical.

**V. MID-CYCLE PERFORMANCE EVALUATION:** Record the overall mid-cycle performance rating. Briefly summarize overall positive and significant performance to date.

Overall Mid-Cycle Performance Rating: \_\_\_\_\_

Prior to the mid-cycle evaluation, did the employee given five business days notice to complete a self-assessment?  
☐ YES ☐ NO

**VI. END-OF-CYCLE PERFORMANCE EVALUATION:** Record the overall end-of-cycle performance rating. Briefly summarize overall positive and significant performance for the entire review period.

Overall End-of-Cycle Performance Rating: \_\_\_\_\_

Prior to the end-of-cycle evaluation, did the employee given five business days notice to complete a self-assessment?  
☐ YES ☐ NO

(Does the position description (S&D) accurately reflect the current, and anticipated, duties and responsibilities for the next review period? If NO, notify the position description as required BEFORE beginning the next review period.)  
☐ YES ☐ NO

**7. EMPLOYEE COMMENTS:**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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# BEHAVIORAL ELEMENTS: OFFICE AND CLERICAL

## BEGINNING-OF-CYCLE PERFORMANCE PLANNING

During Performance Planning at the beginning of the review period, rate the importance of each behavioral element consistent with the criteria established by the department or agency.

Discuss any Performance Standards that are associated with a particular behavioral element.

Review and discuss the definitions.

## MID-CYCLE and END-OF-CYCLE PERFORMANCE EVALUATION

During the mid-cycle and end-of-cycle performance evaluation, assign the appropriate rating consistent with the element definitions and guidelines.

Provide any relative comments about positive or negative performance which affected the rating.

CUSTOMER SERVICE			
<b>Importance</b>	<b>MEETS STANDARDS:</b> Always courteous and congenial with external and internal customers. Provides requested assistance and information to others in a prompt and courteous manner. Communicates in a helpful and informative manner to maintain good public relations. Ensures customer satisfaction through consistent or special effort in response to customer need. Gives equal consideration and service to all people in accordance with the Code of Fair Practices.		
	Outstanding	Exceeds Standards	Needs Improvement
	Consistently goes beyond the requirements to ensure that customer needs are met; consistently anticipates service needs of customers; consistently provides additional information or aid without request. Sets a higher standard for customer service.	Frequently goes beyond the requirements to ensure that customer needs are met; frequently anticipates service needs of customers; frequently provides additional information or aid without request. Never requires reminders about customer service standards.	Marginally courteous; provides requested assistance and information to others in a less than prompt or courteous manner. Must be reminded about customer service standards.
			Occasionally discourteous; occasionally does not provide assistance and information to others in a prompt or courteous manner. Frequently must be reminded about customer service standards.
Mid-Cycle Rating	Comments:		
End-of-Cycle Rating	Comments:		

PRODUCTIVITY			
<b>Importance</b>	<b>MEETS STANDARDS:</b> Produces the volume of work required in the expected timeframe. Consistently meets targets, timetables and deadlines. Requires minimal oversight or supervision to maintain the expected level of services or output. Works quickly and strives to increase productivity. Consistently prompt and prepared for meetings and other scheduled events. Responds to routine developments appropriately. Demonstrates reliable and predictable attendance and/or punctuality, as required for the position.		
	Outstanding	Exceeds Standards	Needs Improvement
	Assignments completed on time with little or no supervision. Always produces more than required. Performs at levels better than targets; early with timetables and deadlines. Anticipates developments or delays making appropriate adjustments; works independently with little or no supervision. Completes all regular assigned work plus additional assignments. Attendance/punctuality habits significantly contribute to a higher degree of unit or individual productivity.	Assignments completed on time with minimal supervision. Frequently produces more than required. Always meets targets, timetables and deadlines; always prompt and prepared for meetings and other scheduled events. Responds quickly and appropriately to unanticipated delays or developments; works independently with minimal supervision. Completes all regularly assigned duties and additional assignments. Voluntarily exceeds attendance/punctuality requirements to complete special assignments and projects or unanticipated activities.	Assignments occasionally are not completed on time. Occasionally fails to meet requirements. Inconsistent in meeting targets, timetables or deadlines; inconsistent in promptness or preparation for meetings or other scheduled events. Some routine developments require supervisory guidance. Requires close supervision. Inconsistent in completing assigned work in time allocated; seldom completes additional tasks. Attendance and/or punctuality habits do not meet the standard required for the position.
			Assignments are rarely completed on time. Rarely meets requirements. Frequently does not meet targets, timetables, or deadlines; frequently lacks promptness or preparation for meetings or other scheduled events. Routine developments often require supervisory guidance; requires constant supervision. Frequently does not perform regularly assigned work in time allocated. Unit and individual productivity is significantly disrupted by unreliable attendance and/or punctuality.
Mid-Cycle Rating	Comments:		

Section VIII. Strengths – The supervisor will identify those traits behaviors, projects, duties or other areas of performance which warrant special attention. These are performance areas which may have received an "Exceeds Standards" or "Outstanding" rating.

Section X. Future Plans - If the supervisor and employee feel that it is appropriate, they may discuss the employee's future career goals and aspirations, whether short-term or long-term. This process is helpful in identifying other developmental activities for the employee as well as integrating employee plans with departmental goals and objectives.

Each Behavioral Element is assigned an "Importance" ranking during the Performance Planning phase. During the Mid-Cycle and End-of-Cycle Evaluations, the supervisor will assign a rating to each element. (The employee may also assign a ranking during the Self-Assessment.) The ranking and ratings of these elements are used in the determination of an overall rating.

### EMPLOYEE DEVELOPMENT PLANS

Sections VII - X are to be completed during the End-of-Cycle Performance Evaluation.

**RII, Strengths:** Using the completed evaluation, identify those areas of performance which merit special recognition (i.e. Exceeds Standards; or i Outstanding ratings). In what areas did the employee excel? What are the key strengths of the employee (competencies, behaviors, results)?

--

**III, Development Needs:** Using the completed evaluation, identify specific areas that were below standards (i.e. Needs Improvement; or i Unsatisfactory ratings) OR self entrance de-assignment in the current position. Specify a recommended development action plan, indicate the person responsible for the action, and the date or timeframe for the action to take place.

NEEDS	ACTION	WHO'S RESPONSIBLE	DATE

**5. FUTURE PLANS (optional):** If appropriate, discuss future growth and other plans or actions dictated by the evaluation. What are the employee's short-term career goals and/or aspirations? What can the employee, supervisor, and/or organization do to encourage future growth?

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**BEHAVIORAL ELEMENTS: OFFICE AND CLERICAL**

**BEGINNING-OF-CYCLE PERFORMANCE PLANNING**  
During Performance Planning at the beginning of the review period, rate the importance of each behavioral element consistent with the criteria established by the department or agency.  
Discuss any Performance Standards that are associated with a particular behavioral element.  
Review and discuss the definitions.

During the mid-cycle and end-of-cycle performance evaluation, assign the appropriate rating consistent with the element definitions and guidelines.

Provide any relative comments about positive or negative performance which affected the rating.

CUSTOMER SERVICE				
<b>100%</b>	<b>MEETS STANDARDS:</b> Always courteous and congenial with external and internal customers. Provides required assistance and information to others in a prompt and courteous manner. Communicates in a helpful and informative manner to maintain good public relations. Ensures customer satisfaction through consistent or special effort in response to customer requests. Always engaged and considerate and service to all people in accordance with the Code of Fair Practice.			
Outstanding	Exceeds Standards	Meets Standards	Needs Improvement	Unsatisfactory
Consistently goes beyond the minimum standards of customer service. Consistently exceeds customer needs are met, consistently anticipates needs of customers, consistently provides additional advice and/or follow-up service. Goes higher than the minimum service.	Frequently goes beyond the minimum standards of customer service. Consistently exceeds customer needs are met, consistently anticipates needs of customers, consistently provides additional advice and/or follow-up service. Goes higher than the minimum service.	Meets minimum standards. Provides consistent service to all customers in a courteous and congenial manner. Always in a line that groups customers together. Meets to maintain the minimum service standards.	Consistently does not meet the minimum standards of customer service. Consistently provides inadequate information to others in a prompt, courteous manner. Frequently must be reminded of basic customer service standards.	
None				
100%	<b>Comments:</b>			
Rating				
<b>PRODUCTIVITY</b>				
<b>100%</b>	<b>MEETS STANDARDS:</b> Produces the volume of work required in the expected timeframe. Consistently meets targets, timeliness and deadlines. Requires minimal oversight or supervision to maintain the expected level of service or output. Work quality and errors to increase productivity. Consistently prompt and prepared for meetings and other scheduled activities. Consistently maintains and produces standard productivity, as required for the position.			
Outstanding	Exceeds Standards	Meets Standards	Needs Improvement	Unsatisfactory
Consistently exceeds the minimum standards of productivity. Consistently exceeds the volume of work required in the expected timeframe. Consistently meets targets, timeliness and deadlines. Requires minimal oversight or supervision to maintain the expected level of service or output. Work quality and errors to increase productivity. Consistently prompt and prepared for meetings and other scheduled activities. Consistently maintains and produces standard productivity, as required for the position.	Frequently goes beyond the minimum standards of productivity. Consistently exceeds the volume of work required in the expected timeframe. Consistently meets targets, timeliness and deadlines. Requires minimal oversight or supervision to maintain the expected level of service or output. Work quality and errors to increase productivity. Consistently prompt and prepared for meetings and other scheduled activities. Consistently maintains and produces standard productivity, as required for the position.	Meets minimum standards of productivity. Consistently meets the volume of work required in the expected timeframe. Consistently meets targets, timeliness and deadlines. Requires minimal oversight or supervision to maintain the expected level of service or output. Work quality and errors to increase productivity. Consistently prompt and prepared for meetings and other scheduled activities. Consistently maintains and produces standard productivity, as required for the position.	Consistently does not meet the minimum standards of productivity. Consistently fails to meet the volume of work required in the expected timeframe. Consistently fails to meet targets, timeliness and deadlines. Requires significant oversight or supervision to maintain the expected level of service or output. Work quality and errors to increase productivity. Consistently fails to be prompt and prepared for meetings and other scheduled activities. Consistently fails to maintain and produce standard productivity, as required for the position.	
None				
100%	<b>Comments:</b>			
Rating				

## CHAPTER 2

### The Performance Planning and Evaluation Program

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#### **Writing Essential Job Function**

##### Definition of Essential Job Function:

The fundamental job duties of a position that, if not performed, will alter the job. Essential Job Functions do not include the marginal functions of a position. Essential Job Functions are those functions that the individual who holds or desires a position must be able to perform, unaided or with reasonable accommodation.

##### Purposes/Uses of This Information:

Provides an employee important information on the essential duties and responsibilities and other duties that the employee is expected to perform and the standards of performance by which the employee will be evaluated.

Provides recruitment and selection information by identifying essential requirements of the position.

Serves as a basis for the job analysis and job evaluation process when classifying positions.

Serves as a tool that analysts can use to obtain information when developing or revising job specifications.

Is an official document approved by the agency that documents the assigned and authorized duties and responsibilities of the position.

Ensures compliance with the Americans with Disabilities Act (ADA) which makes it unlawful to discriminate in employment against a qualified individual with a disability. In order to ensure compliance to the law, each job should be carefully examined to determine which functions or tasks are essential to performance. Persons with disabilities who are able to perform essential job functions with or without reasonable accommodations must be considered for appointment without regard to their disability.

##### Writing Essential Job Functions:

Factors to consider in determining if the function is essential include (1) whether the reason the position exists is to perform that function; (2) the number of other employees available to perform the function or among whom the performance of the function can be distributed.

Essential Job Functions need to be described in plain, consistent language. The following is a good way to think through content and order when writing an Essential Job Function:

- |           |   |                  |
|-----------|---|------------------|
| <b>1.</b> | <b>WHAT AN EMPLOYEE DOES</b>                      | <b>(Verb)</b>    |
| <b>2.</b> | <b>TO WHOM / WHAT</b>                             | <b>(What)</b>    |
| <b>3.</b> | <b>WHY HE / SHE DOES IT</b>                       | <b>(Purpose)</b> |
| <b>4.</b> | <b>HOW - Using what Tools, Procedure, Methods</b> | <b>(How)</b>     |

# Writing Performance Standards

## Definition of Performance Standards:

The requirements by which successful completion of the Essential Job Functions of a position will be measured. Performance Standards is the required level of performance and expected results for the job. A fully experienced and competent employee will consistently achieve or meet the Performance Standards for the job. Meeting the Performance Standards for the job is defined as "good performance."

## Purposes/Uses of This Information:

- To provide supervisors and their employees with observable and measurable standards for satisfactory performance and to use as reference for performance appraisals.
- To use as a reference for objective performance appraisals.
- To ensure consistency of standards for similar positions.

## The P.O.W.E.R. METHOD for Writing Essential Job Functions and Performance Standards

### **1. Plan.**

- How much time do I need? When and where will I do this? What time of day do I do my best thinking? Who can review or advise me on my work?
- Get a group to work together.
- Have a positive attitude.
- Brainstorm.

### **2. Organize.**

- Gather relevant classification specifications, prior position descriptions, MS-21 and MS-22, guidelines, directives, advertising bulletins, SOP's, handbooks, etc. that will help.

### **3. Write.**

- Write notes, key words, an outline, sentences - whatever comes - without stopping to edit your thoughts or cross out any words.
- Get something on paper. Refining the wording comes later.
- Verb, object, purpose, how. Do not get distracted with unnecessary details or irrelevant background information.
- Be specific - quantify by numbers, volume, percentages, speed, accuracy, quality, quantity.

### **4. Edit, Review (and Edit).**

- Go back to it the next day. Read through the writing for a general sense of how effective it is - clear, concise, consistent wording and format.
- Underline the main point for the reader and make sure it is at the beginning.
- Eliminate wordy language, jargon, unnecessary words.
- Check for parallel construction.
- Make sure grammar, spelling and punctuation are correct.

## How to Create a Performance Plan

1. The supervisor should review the organization's GOALS and OBJECTIVES for the coming year. This can be found in the Business Plan, Strategic Plan, Vision or Mission Statement or in a statement of Short-Term and Long-Term Goals. The supervisor should do this before meeting with the employee to determine which projects and activities will have priority during the review cycle.

The supervisor may ask the employee to submit a statement which describes the employee's perspective on which goals and objectives will impact the work of the unit and of the individual.

2. The supervisor should determine which employee duties and responsibilities, activities, performance areas, or projects will have the most impact. These are the areas for which the employee will be held ACCOUNTABLE according to the goals and objectives of the work unit.
3. The supervisor should meet with the employee and REVIEW THE POSITION DESCRIPTION to ensure that the Essential Job Functions and Performance Standards are reflective of those important areas of accountability.

A good work plan will consist of:

- A well written goal or objective
- Action Steps and methods for accomplishing the performance standard
- Identification of available resources

## Employee: How to Prepare for the Performance Planning Meeting

- ☐ Verify when and where the Performance Planning meeting is to be held:  
Date:                      Time:                      Place:
- ☐ Obtain a currently approved copy of the Position Description (MS-22) for the position.
- ☐ Think about the goals and objectives of the work unit. Think about how the position supports the goals and objectives of the unit. Which duties, tasks, and required functions are essential for the position, the office, and the department to accomplish their goals? Write down these important and priority areas of work.
- ☐ Review the Essential Job Functions on the current Position Description. Are the Essential Job Functions reflective of the important and priority work of the position? Are there any areas missing? Are there special activities or projects that will change during the upcoming review cycle?

If you have concerns or questions about Essential Job Functions listed on the current Position Description, or any that may not be listed, make notes for the Performance Planning meeting with the supervisor.

- ☐ Review the Performance Standards on the current Position Description. Are the standards accurate and up-to-date? Are they well written (specific and measurable)? Is the standard that is being measured easy to understand?

If existing Essential Job Functions will be changed or modified for the upcoming review cycle, write a draft of new Performance Standards to discuss with the supervisor. If there are new Essential Job Functions to be developed for the upcoming review cycle, write a draft of a corresponding Performance Standards to discuss with the supervisor. Be sure to write down any ideas for specific behaviors and measurements.

- ☐ Obtain a copy of the Performance Planning and Evaluation Form for the position. Ensure the Behavioral Elements are identified for the position (page 4 of the Evaluation Form).
- ☐ Review the Behavioral Elements. Are the behaviors identified on the form clear and easy to understand? Are the definitions and standards of measurement clear? Think about which Elements are most relevant to the job (best suit the outputs, duties, and tasks) and the importance of each. If necessary, make notes of any additional elements that help to define the job and the expected behaviors.
- ☐ Write down any question about any part of the process.



## **Employee: How to Participate in the Performance Planning Meeting**

To actively participate in the Performance Planning meeting, the employee should observe the following suggestions:

- ☐ Listen carefully to the supervisor's descriptions of "Meets Standards."
- ☐ Ask for examples in performance areas that are unclear.
- ☐ Provide some ideas and examples of Performance Standards.
- ☐ Discuss "Importance" Rankings and task priorities.
- ☐ Discuss and examine areas of disagreement.
- ☐ Address specific development needs for the coming review cycle.

## Supervisor: How to Prepare for the Performance Planning Meeting

- ☐ Contact the employee one to two weeks before the Expectation-Setting meeting to schedule a mutually convenient time:

Date:                      Time:                      Place:

- ☐ Obtain a currently approved copy of the Position Description (MS-22) for the position.
- ☐ Think about the goals and objectives of the work unit. Think about how the position supports the goals and objectives of the unit. Which duties, tasks, and required functions are essential for the position, the office, and the department to accomplish their goals? Write down these important and priority areas of work.
- ☐ Review the Essential Job Functions on the current Position Description. Are the Essential Job Functions reflective of the important and priority work of the position? Are there any areas missing? Are there special activities or projects that will change during the upcoming review cycle?

If there are specific Essential Job Functions which need to be added to the Position Description, or any that may need to be changed, make notes of those changes or additions for discussion during the Performance Planning meeting.

- ☐ Think about priorities for busy times on the job and the relative importance of tasks. Try to prioritize them.
- ☐ Review the Performance Standards on the current Position Description. Are the standards accurate and up-to-date? Are they well written (specific and measurable)? Is the standard that is being measured easy to understand?

If existing Essential Job Functions will be changed or modified, or new Functions added, for the upcoming review cycle, write a draft of new Performance Standards. Be sure the Standards are specific and measurable.

- ☐ Assign an "Importance" ranking to each Performance Standard to be used during the evaluation period.
- ☐ Obtain a copy of the Performance Planning and Evaluation Form for the position. Ensure the Behavioral Elements are identified for the position (page 4 of the Evaluation Form).
- ☐ Review the Behavioral Elements. Are the behaviors identified on the form clear and easy to understand? Are the definitions and standards of measurement clear? Think about which Elements are most relevant to the job (best suit the outputs, duties, and tasks) and the importance of each. If necessary, make notes of any additional elements that help to define the job and the expected behaviors.

- ☐ Obtain a copy of any other information or materials (Unit Goals and Objectives, Strategic Plan, Business Plan, Vision or Mission Statement, etc.) which may be helpful to the employee. This information may be attached to the Evaluation form as part of the Performance Planning process.
- ☐ Prepare to give examples for Performance Standards, Elements or any other areas that may seem unclear.
- ☐ Prepare a working draft of the Performance Plan (the Position Description, and/or any other addendums to the Evaluation Form) for the meeting.

**NOTE:** Once the evaluation is prepared in accordance with the directions and requirements of your agency, take the evaluation to the appropriate management personnel for review prior to entering the performance evaluation.

## **Supervisor: How to Conduct the Performance Planning Meeting**

- ☐ Review the Essential Job Functions, as explaining the reasons WHY the particular tasks must be completed in the manner described.
- ☐ Review the entire Performance Plan, discussing each Performance Standard and Performance Element as criteria for evaluation.
- ☐ Discuss "Importance" rankings to help employees establish priorities for busy times on the job.
- ☐ Give an example of "Meets Standards" in unclear areas. The supervisor can also confirm understanding by asking the employee to describe the standard in his or her own words.
- ☐ Solicit employee input on performance areas and determine if there is agreement.
- ☐ Discuss and examine areas of disagreement.
- ☐ Once mutual understanding has been reached on all of the expectations, a final version of the review form should be prepared.
- ☐ Both employee and supervisor will sign the Performance Planning form. The form will be forwarded to the next-level supervisor, or other appointed authority, for review.
- ☐ The supervisor will keep the original copy of the form for use during the Mid-Cycle Performance Evaluation and the End-of-Cycle Performance Evaluation.
- ☐ The employee shall receive a photocopied (or computer printed) version of the form for the employee's records and for conducting the Self-Assessment.

## CHAPTER 3

### **Monitoring Performance and Giving Feedback**

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#### **Documenting Performance**

It is important for the supervisor and employee to regularly document performance throughout the rating period. Documentation helps to identify good or outstanding performance, and avoid conflicts or misunderstandings during the performance evaluation. All documentation should be in the form of written records. Relying on memory increases the risk of inaccurate, incomplete, and missing information.

One method of recording information is an Employee Performance Log. The log can be used by the supervisor or the employee to record incidents of performance - good or bad. Any exceptional or distinct incidents of performance should be recorded in the log to provide a fair, accurate depiction of performance over the entire review cycle.

Documenting all levels of performance can also be done easily with the WHO-WHAT-WHY-WHEN-WHERE and FOLLOW-UP method.

**WHO**            Begin an employee performance file or log that is used to document performance.

**WHAT**            When there is a positive or negative performance incident, write a brief description of the event in the performance log.

**WHY**            Indicate the source of the information or how the incident was recognized or reported. Describe why it either meets or fails to meet expectations and include any extenuating circumstances that would either increase or decrease the employee's level of responsibility for the incident (for example, the office was short-staffed that day, employee's first day back after leave, etc.).

**WHEN / WHERE**    Indicate when and where the incident occurred.

**FOLLOW-UP**        Record the nature of any discussion between the supervisor and employee about the performance incident. Why was the level of performance outstanding? How did the performance level make a contribution to the organization? Why is it important? What should the employee have done? What is being done to assure that subsequent performance meets expectations? What time period was set for follow-up on these commitments?

## Feedback

Communicating with employees in a positive manner when they need to improve their performance will help prevent chronic work problems and minimize surprises during the Performance Review.

There are three important principles to remember in providing feedback:

- Both positive and corrective feedback should be given as close as possible in time to when the relevant performance occurs.
- Both positive and corrective feedback should motivate the individual to perform better, not demotivate them.
- The performance should be documented.

### Key Elements of Feedback

<b>DESCRIBES BEHAVIOR</b>	Feedback should address the specific action or behavior you are trying to recognize or change. Only choose the most important behaviors, don't "nit-pick."
<b>SPECIFIC</b>	Feedback must be detailed and individualized for the specific person with whom you are addressing. Do not use generalizations.
<b>NON-EVALUATIVE</b>	When providing feedback, one must not respond to the personal worth of the person. Use "I" statements, not "You" statements (describe your concerns with the consequences of the behavior).
<b>TIMELY</b>	Feedback should be well timed, when it is observed. It should be given as close to the performance event being addressed as possible.
<b>OBSERVED BEHAVIORS</b>	Not hearsay, stories, or guesses about motives.
<b>EMPATHETIC</b>	Feedback should acknowledge the feelings of both parties in the discussion.
<b>MOTIVATES</b>	Give <u>motivating</u> feedback. Whether it is critical or complimentary, leave the employee motivated to perform better.
<b>ACTION PLAN</b>	Behavior change can only come from within oneself, feedback should specify the consequences of the actions or behavior concerned.

## **Feedback: Tips & Suggestions**

- Use "I-statements," instead of "you-statements."
- Use factual descriptions, instead of judgments or exaggerations.
- Express thoughts, feelings and opinions which reflect your ownership of the problem, instead of denying ownership, being passive or indirect.
- Use clear direct requests or directives (commands) when you want others to do something, instead of hinting, being indirect, or presuming.
- Use positive body language to encourage discussion.
- Never threaten the individual with ambiguous consequences if the behavior doesn't change, e.g., "Shape up or you'll be very sorry." The purpose is to motivate a change in behavior for positive reasons.
- Never use feedback as a way to "put a person down" or "in their place," to embarrass the individual in front of others, or to relieve anger.
- Attempt to leave the person motivated to perform better. If he or she is not motivated to improve, then the feedback was non-productive.

## **Guidelines for Giving Positive Feedback**

1. State the specific reason for praise.
2. Present it enthusiastically; be sincere.
3. Show how it was job-related.
4. Discuss the results of the positive performance.
5. Ask for the person's reaction / perception.
6. Express appreciation for a job well-done.

## **Guidelines for Giving Corrective Feedback**

1. Specify the problem behavior(s) in a non-threatening manner.
2. Give examples of why it is a problem.

3. Ask the person to help solve the problem.
4. Generate solutions (and impact) together.
5. Reach agreement on an action plan.
6. Make sure the person is still motivated.
7. Schedule follow-up if necessary.

### **Building a Performance Improvement Plan**

If during the course of the review cycle, employee performance is not meeting the standards that have been determined during the Performance Planning meeting, the supervisor should provide regular feedback to the employee, as well as document the specific performance problem. In some cases, a supervisor may determine that overall employee performance is "Unsatisfactory" or "Needs Improvement." In such instances it is the responsibility of the supervisor to implement a Performance Improvement Plan using the appropriate form for documentation.

In addition, if an employee receives an overall performance appraisal rating of "Needs Improvement" or "Unsatisfactory" during the Mid-Cycle or End-of-Cycle Performance Evaluation, the supervisor shall establish a Performance Improvement Plan for the employee. Employee failure to improve performance and meet the requirements of the job may result in progressive discipline and/or termination according to the rules and guidelines established by the agency or department.





## CHAPTER 4

### Self-Assessment

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The purpose of the Self-Assessment is to encourage the employee to think about performance for the review period to date, and therefore take an active part in the performance evaluation. During the Mid-Cycle and End-of-Cycle Performance Evaluation, the supervisor will be providing feedback to the employee about his or her performance. Through the Self-Assessment, the employee is invited to share his or her thoughts about performance and provide examples for discussion with the supervisor.

#### How to Conduct the Self-Assessment

- ☐ Obtain a photocopied (or computer printed) version of the Performance Planning and Evaluation Form that was established during the performance Planning meeting.
- ☐ Gather all documentation (notes and records) about performance during the review period.
- ☐ Ensure an adequate amount of time and privacy for the completion of the Self-Assessment.
- ☐ Read each Essential Job Function, Performance Standard and Performance Element. Recall any discussions that took place during the Performance Planning meeting or any other relevant conversations since the meeting.
- ☐ Read the rating scale and the definitions located on the evaluation form. Be sure to understand that "Meets Standards" means "good performance that is expected of a fully experienced and competent employee."
- ☐ Rate each area that is specified as a Performance Standard and a Performance Element that will be used in the determination of an overall rating.
- ☐ If appropriate, in the "Comments" section, write a brief explanation of the reasons for the selected rating. The employee may also provide specific examples, illustrations, and instances of performance that will support the rating.
- ☐ During the Mid-Cycle Performance Evaluation: On a separate document, identify any training programs, assignments, on-the-job activities, or everyday duties that can be used to develop or enhance current performance. During the End-of-Cycle Performance Evaluation: Complete the section entitled "Employee Development Plans."
- ☐ Bring the completed Self-Assessment with cover sheet to the meeting to discuss with the supervisor.

## **CHAPTER 5**

### **The Mid-Cycle Performance Evaluation**

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#### **Employee: How to Participated in the Mid-Cycle Performance Evaluation**

##### **TO PREPARE FOR THE PERFORMANCE EVALUATION:**

- ☐ Verify when and where the Mid-Cycle Performance Evaluation is to be held:  
Date:                      Time:                      Place:
  - ☐ To prepare for the performance evaluation, complete a Self-Assessment prior to the meeting. Refer to the handbook for information about conducting a Self-Assessment.
  - ☐ Bring a completed Self-Assessment to the meeting. Review the Self-Assessment prior to meeting with the supervisor.
- 

##### **TO PARTICIPATE IN THE PERFORMANCE EVALUATION:**

- ☐ Approach the performance evaluation as an opportunity for the supervisor and employee to recognize accomplishments, note strengths and identify weaknesses, establish goals for improvement, and develop action plans.
- ☐ Listen carefully to the supervisor's descriptions of performance.
- ☐ Discuss and examine areas of disagreement. Do not "tune out" the supervisor if there is disagreement about a rating or area of performance.
- ☐ Ask for examples or illustrations for ratings or performance areas that are unclear.
- ☐ Refer to the Self-Assessment in providing some examples or comments about ratings or performance areas.
- ☐ Review each area of the appraisal:
  - Focus on areas that are rated "Needs Improvement" or "Unsatisfactory." Discuss how these areas may be improved. Define and commit to a specific action plan with a timeframe for improved performance.

- Review those areas which are rated as "Meets Standards" or better. Discuss how performance in these areas could be continually enhanced, or if the standards could be raised to elevate productivity and/or efficiency. Discuss the areas rated as "Outstanding." Talk about how these areas were of value and contribution to the organization.

- ☐ Suggest training and development activities that would contribute to personal growth in the position and contribute to the accomplishment of department goals and objectives.
- ☐ Sign and date the appropriate section on the front of the form indicating that the meeting was held.
- ☐ Ask for a copy of the completed performance evaluation for future reference and guidance.

## **Supervisor: How to Prepare for the Mid-Cycle Performance Evaluation**

- ☐ Contact the employee at least five business days before the Mid-Cycle Performance Evaluation is to be held to schedule the session at a mutually convenient time and location.  
Date:                      Time:                      Place:
- ☐ Ask the employee to complete a Self-Assessment. Ensure that the employee has a photocopied (or computer printout) version of the evaluation form.
- ☐ Think about the goals and objectives of the work unit. Think about how the work of the employee supported the goals and objectives of the unit. To what degree has the employee completed the duties, tasks, and required functions of the position, the office, and the department in accomplishing the goals and objectives?
- ☐ Read the section titled "Conducting a Fair Evaluation" in this handbook.
- ☐ Review the Performance Standards and Behavioral Elements that were set at the beginning of the performance review period. Also review any evaluation criteria that have been amended or revised throughout the review period. Review any other formal documents which may have been written for the employee (Performance Improvement Form, Probation, etc.).
- ☐ Gather informal documentation to support or define both positive and negative performance incidents (Employee Logs, employee file, etc.).
- ☐ Assign a rating to each Performance Standard and Behavioral Element that has been defined as criteria for evaluation of overall performance.
- ☐ In the "Comments" section, provide a brief explanation of the reasons for the selected rating. If possible, provide specific examples, illustrations, and instances of performance that will support the rating.
- ☐ Using the Overall Rating Worksheet, determine an overall rating for the employee.
- ☐ Record the overall rating on the evaluation form in Section IV: "Mid-Cycle Performance Evaluation." Provide any comments which will summarize overall performance for the first half of the review cycle.
- ☐ If the employee's overall performance rating is "Needs Improvement" or "Unsatisfactory," complete a Performance Improvement Plan for him or her. Refer to the appropriate section of this handbook for specific instructions.

- ☐ If necessary, on a separate document, identify any training programs, assignments, on-the-job activities, or everyday duties that can be used to develop or enhance current performance. Use the "Employee Development Plan" section of the evaluation form as a format for discussing employee strengths and development needs.

**NOTE:** Once the evaluation is prepared in accordance with the directions and requirements of your agency, take the evaluation to the appropriate management personnel for review prior to entering the performance evaluation.

## **Supervisor: How to Conduct the Mid-Cycle Performance Evaluation**

- ☐ Create a positive and comfortable climate for the employee. Reduce physical barriers which can create tension. Allocate an adequate amount of time and ensure privacy to eliminate or avoid interruptions.
- ☐ Explain the purpose of the Mid-Cycle Performance Evaluation. Discuss the benefits for both supervisor and employee by focusing on the achievement and accomplishment of goals and objectives in the unit.
- ☐ Review performance by discussing each Performance Standard and Behavioral Element and the perception of employee performance in each area. Discuss how the rating was determined. When relevant, give examples of good and/or poor performance and discuss strengths and weaknesses in each area.
- ☐ Solicit employee comments and input by referring to the Self-Assessment. Encourage the employee to participate. Listen carefully to the employee's input. Establish a mutual understanding about ratings and comments on the Mid-Cycle Performance Evaluation.
- ☐ Discuss any Employee Development Plans which may have been created by the supervisor or the employee.
- ☐ If a Performance Improvement Plan was created because of poor performance, review the form in detail with the employee. Clarify performance expectations and the potential result of non-compliance.
- ☐ If performance is "Meets Standards" or better, discuss how performance in these areas could be continually enhanced, or if the standards could be raised to elevate productivity and/or efficiency.
- ☐ Summarize the meeting. Review or re-state any plans or agreements that were established during the meeting.
- ☐ Both employee and supervisor sign the Performance Evaluation form. The form will be forwarded to the next-level supervisor, or other appointed authority, for review.

## How to Conduct a Fair Evaluation

Performance evaluations should be based on measurable Performance Standards and job-related behaviors, not an individual's personal traits. Listed below are some common rating errors that may influence the evaluation of employee performance.

### RATING ERRORS

#### **Halo Effect**

The rater allows a positive aspect of employee performance (one aspect of the job) to influence an overall evaluation or an evaluation of other aspects of the job.

#### **Horn Effect**

The rater allows a negative aspect of employee performance (one aspect of the job) to influence an overall evaluation or an evaluation of other aspects of the job.

#### **Restriction of Range Error**

The rater does not use the entire range of scores on the rating scale.

Leniency - The rater consistently gives an "Outstanding" rating regardless of performance. The supervisor may do this because he or she does not want to confront any possible performance problems, wants to "motivate" the employee through high praise, or maintain the present working relationship without disruption.

Severity - The rater commonly rates employees as "Below Expectations" because of unrealistic standards or selective perception.

Central Tendency - The rater gives all employees an average rating, "Meets Expectations," for fear of singling out an outstanding or poor performer.

#### **Contrast Error**

The rater compares employees to each other, instead of using the defined Performance Standards for the job.

#### **Frame of Reference Error**

The rater compares the employee's performance to the supervisor's own personal standards for that job, instead of using the defined Performance Standards for the job.

#### **First Impression Error**

The rater will have an initial favorable or unfavorable judgment about an employee and then ignore or subconsciously distort subsequent information so as to support the initial impression.

#### **Recency Error**

The supervisor will evaluate performance based on very recent or current incidents rather than those occurring throughout the year.

Supervisors can avoid rating errors by:

1. Learn, understand, and be aware of the "errors." By being conscious of these possible errors, supervisors can check their own perception during the review process and avoid committing the errors.
2. Establishing objective Performance Standards which are specific and measurable, thus reducing possible misinterpretation.
3. Practicing how to observe behavior and differentiate between important and unimportant job behaviors and the actual accomplishment of Performance Standards.
4. Creating documentation which focuses on standards and behaviors, not personal characteristics.



## CHAPTER 6

### The End-of-Cycle Performance Evaluation

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#### **Employee: How to Participated in the End-of-Cycle Performance Evaluation**

##### **TO PREPARE FOR THE PERFORMANCE EVALUATION:**

- ☐ Verify when and where the End-of-Cycle Performance Evaluation is to be held:  
Date:                      Time:                      Place:
  - ☐ To prepare for the performance evaluation, complete a Self-Assessment prior to the meeting. Refer to the handbook for information about conducting a Self-Assessment.
  - ☐ Bring a completed Self-Assessment to the meeting. Review the Self-Assessment prior to meeting with the supervisor.
- 

##### **TO PARTICIPATE IN THE PERFORMANCE EVALUATION:**

- ☐ Approach the performance evaluation as an opportunity for the supervisor and employee to recognize accomplishments, note strengths and identify weaknesses, establish goals for improvement, and develop action plans.
- ☐ Listen carefully to the supervisor's descriptions of performance.
- ☐ Discuss and examine areas of disagreement. Do not "tune out" the supervisor if there is disagreement about a rating or area of performance.
- ☐ Ask for examples or illustrations for ratings or performance areas that are unclear.
- ☐ Refer to the Self-Assessment in providing some examples or comments about ratings or performance areas.
- ☐ Review each area of the appraisal:
  - Focus on areas that are rated "Needs Improvement" or "Unsatisfactory." Discuss how these areas may be improved. Define and commit to a specific action plan with a timeframe for improved performance.
  - Review those areas which are rated as "Meets Standards" or better. Discuss how performance in these areas could be continually enhanced, or if the standards could be raised to elevate productivity and/or efficiency. Discuss the areas rated as "Outstanding." Talk about how these areas were of value and contribution to the organization.

- ☐ Suggest training and development activities that would contribute to personal growth in the position and contribute to the accomplishment of department goals and objectives.
- ☐ Sign and date the appropriate section on the front of the form indicating that the meeting was held.
- ☐ Ask for a copy of the completed performance evaluation for future reference and guidance.

## **Supervisor: How to Prepare for the End-of-Cycle Performance Evaluation**

- ☐ Contact the employee at least five business days before the End-of-Cycle Performance Evaluation is to be held to schedule a mutually convenient time and location.  
Date:                      Time:                      Place:
- ☐ Ask the employee to complete a Self-Assessment. Ensure that the employee has a photocopied (or computer printout) version of the evaluation form.
- ☐ Think about the goals and objectives of the work unit. Think about how the work of the employee supported the goals and objectives of the unit. To what degree has the employee completed the duties, tasks, and required functions of the position, the office, and the department in accomplishing the goals and objectives?
- ☐ Read the section titled "Conducting a Fair Evaluation" in this handbook.
- ☐ Review the Performance Standards and Behavioral Elements that were set at the beginning of the performance review period. Also review any evaluation criteria that have been amended or revised throughout the review period.
- ☐ Review the results of the Mid-Cycle Performance Evaluation. Review any other formal documents which may have been written for the employee (performance Improvement Form, Probation, etc.).
- ☐ Gather informal documentation to support or define both positive and negative performance incidents (Employee Logs, employee file, etc.).
- ☐ Assign a rating to each Performance Standard and Performance Element that has been defined as criteria for evaluation of overall performance.

- ☐ In the "Comments" section, provide a brief explanation of the reasons for the selected rating. If possible, provide specific examples, illustrations, and instances of performance that will support the rating.
- ☐ Using the Overall Rating Worksheet, determine an overall rating for the employee.
- ☐ Record the overall rating on the evaluation form in Section V: "End-of-Cycle Performance Evaluation." Provide any comments which will summarize overall performance for the entire review cycle.
- ☐ If the employee's overall performance rating is "Needs Improvement" or "Unsatisfactory," complete a Performance Improvement Plan for him or her.
- ☐ Complete Sections VII and VIII on the "Employee Development Plans" portion of the evaluation form. Use the ratings and comments from the End-of-Cycle Performance Evaluation as a guide for identifying employee strengths and development needs.

**NOTE:** Once the evaluation is prepared in accordance with the directions and requirements of your agency, take the evaluation to the appropriate management personnel for review prior to entering the performance evaluation.

### **Supervisor: How to Conduct the End-of-Cycle Performance Evaluation**

- ☐ Create a positive and comfortable climate for the employee. Reduce physical barriers which can create tension. Allocate an adequate amount of time and ensure privacy to eliminate or avoid interruptions.
- ☐ Explain the purpose of the End-of-Cycle Performance Evaluation. Discuss the benefits for both supervisor and employee by focusing on the achievement and accomplishment of goals and objectives in the unit.
- ☐ Review performance by discussing each Performance Standard and Behavioral Element and the perception of employee performance in each area. Discuss how the rating was determined. When relevant, give examples of good and/or poor performance and discuss strengths and weaknesses in each area.
- ☐ Solicit employee comments and input by referring to the Self-Assessment. Encourage the employee to participate. Listen carefully to the employee's input. Establish a mutual understanding about ratings and comments on the End-of-Cycle Performance Evaluation.

- ☐ Discuss the overall performance rating and the comments supporting the rating. Ask the employee if he or she has a statement to include on the "Employee Comments" section of the Performance Evaluation Form (section VI).
- ☐ With the employee, review and discuss the Position Description attached to the Performance Evaluation Form. Does it accurately reflect the current, and anticipated, duties and responsibilities of the position for the next review period? If it does not, the employee and supervisor must modify the position description before the beginning of the next review cycle. Check the appropriate box on the form.
- ☐ Discuss sections VII and VIII on the " Employee Development Plans" portion of each form. Discuss employee strengths and how they contribute to the success of the employee and the department. Reach agreement on areas of weakness and develop a specific action plan for improvement.
- ☐ If a Performance Improvement Plan was created because of poor performance, review the form in detail with the employee. Clarify performance expectations and the potential result of non-compliance.
- ☐ If overall performance is "Meets Standards" or better, discuss how performance in these areas could be continually enhanced, or if the standards could be raised to elevate productivity and/or efficiency.
- ☐ Summarize the meeting. Review or re-state any plans or agreements that were established during the meeting.
- ☐ Both employee and supervisor should sign the Performance Evaluation form. The form will be forwarded to the next-level supervisor, or other appointed authority, for review.
- ☐ Give the employee a copy of the completed performance evaluation for future reference and guidance.

## CHAPTER 7

### Evaluating Overall Evaluation

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#### Importance Ranking Guidelines

Most jobs have peak periods that prevent the employee from accomplishing every task in a timely fashion. It is vital that the supervisor and the employee discuss the essential tasks and duties and the level of importance of each. That discussion becomes the basis from which the employee can determine which duties should be given priority during busy times. During this discussion, the employee should ask the supervisor what tasks should take priority during busy times, and to provide examples of those peak times. The supervisor and employee must each understand that other tasks will not be ignored, but only that the employee must know priorities.

Consequently, to ensure that overall employee performance is properly measured, it is essential that the supervisor rank the criteria for evaluation and give weight to those criteria that will have a greater impact on the overall rating and the accomplishments of the organization.

This process begins with the Performance Planning Phase of the program when the supervisor will assign "Importance" rankings to those Performance Standards and Behavioral Elements that will be used as criteria in the determination of overall performance.

Each evaluation item is ranked in terms of its effect on total job performance. The ranking scale is as follows:

<b>3 – Critical:</b>	A crucial element of the job and essential for the achievement of the organization's goals and objectives.
<b>2 –Important:</b>	A principal job responsibility which has a significant impact on the achievement of the organization's goals and objectives.
<b>1 - Moderately Important:</b>	A supplementary responsibility which is important for continued success and competence in the job.
<b>N/A:</b>	Not Applicable

Supervisors should use the chart on the following page as a GENERAL GUIDE to determine Importance rankings for the State of Maryland Performance Planning and Evaluation Process. Supervisors can begin by referring to the "% of Time and/or Weight of Importance" defined on a currently approved Position Description. Supervisors should also consult with agency or departmental guidelines before making a final determination.

Position Description (MS-22)			Performance Evaluation (OHR/PA – 1)
% of Time	Weight of Importance (Scale 1-100)	Weight of Importance (Scale 1-10)	IMPORTANCE
25% - 100%	90 - 100	10	<b>1</b>
	80 - 89	9	
	70 - 79	8	
5% - 24%	60 - 69	7	<b>2</b>
	50 - 59	6	
	40 - 49	5	
	30 - 39	4	
>5%	20 - 29	3	<b>3</b>
	10 - 19	2	
	1 - 9	1	

NOTE: This chart is to be used as a GENERAL GUIDE for the establishment of Importance rankings. Raters should consider the value and significance of Performance Standards and Behavioral Elements when assigning rankings, particularly with the "% of Time." For example, some tasks may require little time to complete but may have significant impact on employee performance and unit or department achievement.

## Using the Overall Rating Worksheet

### **PERFORMANCE STANDARDS**

1. In the "Performance Standards" column, record an abbreviated title for each of the standards listed on the Position Description (MS-22) that were designated as evaluation criteria during the Performance Planning phase.
2. In the "Rating" column, record the alphabetical rating code which corresponds to the performance rating determined for each performance standard.
3. In the "#" column, assign the corresponding numerical value to each rating code.

<b><u>Rating</u></b>			<b><u>Value</u></b>
<b>Outstanding</b>	<b>O</b>	<b>=</b>	<b>4</b>
<b>Exceeds Standards</b>	<b>E</b>	<b>=</b>	<b>3</b>
<b>Meets Standards</b>	<b>M</b>	<b>=</b>	<b>2</b>
<b>Needs Improvement</b>	<b>I</b>	<b>=</b>	<b>1</b>
<b>Unsatisfactory</b>	<b>U</b>	<b>=</b>	<b>0</b>

4. In the "Importance" column, record the ranking that was assigned to the corresponding Performance Standard during the Performance Planning Phase.
5. Multiply each Performance Standard rating value with the corresponding Importance rank. Record the result in the "Score" column.
6. Add all of the rankings recorded in the "Importance" column and record the sum in the "Importance Sub-Total" box.
7. Add all of the numbers recorded in the "Score" column and record the sum in the "Score Sub-Total" box.

### **BEHAVIORAL ELEMENTS**

8. In the "Behavioral Elements" column, record each of the assigned elements that were designated as evaluation criteria during the Performance Planning phase.
9. In the "Rating" column, record the alphabetical rating code which corresponds to the performance rating determined for each performance element.
10. In the "#" column, assign the corresponding numerical value to each rating code.
11. In the "Importance" column, record the ranking that was assigned to the corresponding Performance Element during the Performance Planning Phase.

12. Multiply each Performance Element rating value with the corresponding Importance rank. Record the result in the "Score" column.
13. Add all of the rankings recorded in the "Importance" column and record the sum in the "Importance Sub-Total" box.
14. Add all of the numbers recorded in the "Score" column and record the sum in the "Score Sub-Total" box.

### **OVERALL SCORE**

15. Record the corresponding "Importance Sub-Total" and "Score Sub-Total" scores in the boxes located in the OVERALL SCORE table.
16. Add both "Importance Sub-Total" numbers and record the sum in the "Total" box (marked "A").
17. Add both "Score Sub-Total" numbers and record the sum in the "Total" box (marked "B").
18. Divide the number in box "B" by the number in box "A" and place the result in the shaded box, "Overall Score."

### **OVERALL PERFORMANCE RATING**

19. Examine the numerical ranges located in the OVERALL PERFORMANCE RATING table. Determine which range contains the number located in the "Overall Score" shaded box.
20. Record the "Overall Score" in the box located with the appropriate range.
21. Circle the corresponding rating.



# SAMPLE

## OVERALL PERFORMANCE RATING WORKSHEET

PERFORMANCE STANDARDS	RATING	#	Importance	Score
#1	→		X	-
#2	→		X	-
#3	→		X	-
#4	→		X	-
#5	→		X	-
#6	→		X	-
#7	→		X	-
#8	→		X	-
#9	→		X	-
#10	→		X	-

Importance SUB-TOTAL	Score SUB-TOTAL

BEHAVIORAL ELEMENTS	Rating	#	Importance	Score
	→		X	-
	→		X	-
	→		X	-
	→		X	-
	→		X	-
	→		X	-
	→		X	-
	→		X	-
	→		X	-
	→		X	-
	→		X	-

Importance SUB-TOTAL	Score SUB-TOTAL

OVERALL SCORE			
	Importance SUB-TOTALS		Score SUB-TOTALS
Performance Standards			
Behavioral Elements	+		+
TOTALS	-(A)		-(B)
OVERALL SCORE $(B) \div (A)$ = <span style="border: 1px solid black; display: inline-block; width: 100px; height: 20px; vertical-align: middle;"></span>			

OVERALL PERFORMANCE RATING				
Outstanding	Exceeds Standards	Meets Standards	Needs Improvement	Unsatisfactory
<div style="border: 1px solid black; width: 100px; height: 20px;"></div>	<div style="border: 1px solid black; width: 100px; height: 20px;"></div>	<div style="border: 1px solid black; width: 100px; height: 20px;"></div>	<div style="border: 1px solid black; width: 100px; height: 20px;"></div>	<div style="border: 1px solid black; width: 100px; height: 20px;"></div>
4.0-3.75	3.74-2.75	2.74-1.75	1.74-.75	.74-0.0

<u>Rating</u>		<u>Value</u>
Outstanding	O =	4
Exceeds Standards	E =	3
Meets Standards	M =	2
Needs Improvement	I =	1
Unsatisfactory	U =	0